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Chief Executives Board for Coordination

9 November 2016

Report of the High-level Committee on Management at its thirty-second session

(UNESCO headquarters, Paris, 3 and 4 October 2016)

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I. Introduction

1. The High-level Committee on Management of the United Nations System Chief Executives Board for Coordination (CEB) held its thirty-second session on 3 and 4 October 2016 at the headquarters of the United Nations Educational, Scientific and Cultural Organization (UNESCO), in Paris. The meeting was chaired by the Director-General of UNESCO. The Vice-Chair was the Deputy Executive Director of the Joint United Nations Programme on HIV/AIDS (UNAIDS).

2. The agenda adopted by the Committee is reflected in the table of contents. The complete list of participants is provided in annex I. The checklist of documents is provided in annex II. All documents related to the session are available on the website of CEB (www.unsceb.org/content/oct-2016).

3. The Chair of the High-level Committee on Management opened the meeting, expressing her confidence that the Committee was fully prepared to support a common and coherent implementation of the 2030 Agenda. She encouraged the Committee to closely align with the processes in the Economic and Social Council and the quadrennial comprehensive policy review in order to be impactful and coherent. It was noted that the United Nations system was in an era of change and needed to stay innovative and keep renewing itself. The Chair encouraged the members of the Committee to take ownership and demonstrate leadership, in particular with a view to the Committee's strategic plan for 2017-2020 but also to support the development of characteristics for leaders in the Sustainable Development Goals era and the strengthening of the response to cases of sexual exploitation and sexual abuse. She expressed her intent to utilize the session to further consolidate the unity across the system through the concrete proposals and decisions of the Committee on the items of the agenda.

4. After having welcomed the new representatives to the Committee, the Chair also thanked the Vice-Chair, Jan Beagle, for her support in the preparation and the work of the Committee.

II. Agenda item 1: strategic plan of the High-level Committee on Management for 2017-2020

5. The Chair introduced this item, recalling that, in the period from 2013 to 2016, the work of the High-level Committee on Management had proceeded along the five strategic priorities set out in the Committee's first strategic plan. The strategic results 2013-2016 paper (CEB/2016/HLCM/3) highlighted the achievements made by the Committee against its strategic plan, providing stakeholders with an overview of the work and benefits realized in management and business operations since 2013, yielding a more collaborative United Nations system at the global, regional and country levels.

6. At its thirty-first session, the Committee agreed that a draft strategic plan and the corresponding results framework for the new period would be prepared for review and approval by the Committee, and subsequent endorsement by CEB, at their respective fall sessions.

7. The Chair underlined that both documents would be further reviewed for any adjustments in the spring of 2017, on the basis of the intergovernmental mandates that would be provided by the new resolution on the quadrennial comprehensive policy review and of the vision for management reform that may be formulated by the new Secretary-General. This was in line with the spirit of these documents, which needed to be considered as living tools, subject to revision and update based on emerging needs and new intergovernmental mandates.

8. The Chair noted that there had been considerable discussion in the Committee and other forums on the strategic direction needed to support the delivery of the 2030 Sustainable Development Agenda (among others, the outcome of the joint High-level Committee on Management-High-level Committee on Programmes retreat, the High-level Committee on Management's strategic results paper, the outcome of the United Nations Development Group-Business Operations Working Group retreat in March 2016 and the discussion paper by the Human Resources Network on the evolution of a global United Nations system workforce).

9. Furthermore, the CEB secretariat held a series of individual consultations with all members of the Committee, and the directions provided during those consultations had been used as input into the draft plan and results matrix. In particular, significant interest had been expressed for Committee to play a role in the area of "partnerships", as a key priority for the United Nations system moving forward. Hence, an additional priority area (B) had been added to the draft strategic plan, as compared with the list of priorities that the Committee had preliminary agreed in March.

10. During the discussion, the members of the Committee expressed broad support for the priority areas identified in the draft plan and on the related outputs and activities. Initial suggestions for revised or additional wording were provided, with the agreement that organizations could send specific comments to the CEB secretariat after the session of the Committee, prior to the finalization of the draft plan and submission to CEB. Organizations were also asked to provide an indication on their interest and availability to engage more actively in any particular areas of work.

11. The Committee noted that several activities in the results framework were already ongoing, with some of them at an advanced stage.

12. The members of the Committee noted with appreciation the inclusion, under priority B, of work towards reviewing the United Nations procurement policies and other drivers of women's economic empowerment, as identified in the Secretary-General's High-level Panel on Women's Economic Empowerment. With respect to climate neutrality, the members of the Committee recognized that the aim was for footprint reduction and not only neutrality. With respect to priority C, "Attract and retain a highly skilled international civil service able to address issues that are increasingly cross-disciplinary and require multisectoral approaches", members noted the importance of developing work in this area, with an emphasis on the aspects related to leadership, ethics and accountability; broadening the concept of diversity to include concepts such as disabilities; and, placing further attention on performance management, with respect to both rewarding mechanisms and managing underperformance.

13. Regarding priority D, "Foster the organizations' responsibility for the safety and security of their staff", the Chair brought to the attention of the Committee a letter from the Under-Secretary-General for Safety and Security, highlighting that all aspects of "duty of care", including those related to psychosocial issues, health, human resources and administration, should be given due consideration in taking forward work in this area. The Committee broadly agreed that the concepts of health and well-being needed to be explicitly included in the formulation of priority D, with due attention to the shared responsibility of the Organization and of individual staff members in all matters related to safety and security.

14. The Committee agreed that the new strategic plan had to take into consideration the changing security situation in which United Nations personnel operated, reviewing and addressing new areas of threat, also in view of the significantly higher number of United Nations staff that were now working in high-risk duty stations as compared with the past.

15. In conclusion, the Chair noted that the subject of safety and security and, more broadly, of duty of care, would benefit from a discussion at a different level, and proposed to raise the issue with the Secretary-General for inclusion in CEB discussions, as appropriate.

16. On the topic of quality, accessible, timely and reliable disaggregated data (priority E), the proposed lines of work were agreed, under the overarching framing of the role of data in supporting organizations to deliver their priorities on the 2030 Agenda, and comprehensively and transparently reporting to stakeholders.

17. On priority F, "Drive forward the agenda on risk management and resilience-building in close collaboration with the United Nations Development Group and the High-level Committee on Programmes", the Committee received a briefing on the discussions in the High-level Committee on Programmes, which was looking at the topic from a risk prevention and resilience management perspective, focusing on external risks and on what programme countries could do to reduce risk and develop mitigation measures. The concept of business continuity was raised as a topic relevant for the High-level Committee on Management, broadening the scope of the Committee's attention to organizational risk management, duty of care, reputational risk and so forth, beyond the traditional focus on risk from a solely financial perspective.

18. **The High-level Committee on Management:**

(a) Approved the strategic plan for 2017-2020, incorporating changes and adjustments in accordance with the discussion during the session, for submission to CEB at its second regular session for 2016;

(b) Requested organizations to provide suggestions for prioritization, refinement and adjustment to the draft results framework, including an indication of commitment to take an active role in any of the agreed activities;

(c) Requested the CEB secretariat to finalize the draft results framework on the basis of the input received during and following the discussion, for submission to CEB at its second regular session for 2016.

III. Agenda item 2: operationalizing the Chief Executives Board common principles for the implementation of the 2030 Agenda for Sustainable Development

19. The Chair reminded the members of the Committee that the Committee had reviewed a draft set of CEB common principles for the implementation of the 2030 Agenda for Sustainable Development, which were subsequently approved by CEB at its session in April 2016. At its current session, the Committee was to consider concrete actions to operationalize these principles, in line with the priorities set out in its current and forthcoming strategic plans.

A. United Nations system model for transformative "leaders of the future"

20. The Vice-Chair recalled that in concluding the formal session of CEB in April 2016, the Secretary-General had tasked the CEB high-level committees with developing a shared concept of the leadership characteristics necessary in the Sustainable Development Goals era, across different functions, levels and locations.

21. Accordingly, a joint task team of the High-level Committees on Management and on Programmes, facilitated by the United Nations System Staff College, had been formed to undertake a consultative process to develop a United Nations system leadership framework. Representatives of the United Nations Development Group Working Group on Leadership had also been closely engaged to ensure complementarity with its work on this subject. The Vice-Chair stated that the efforts of the three committees would be integrated into a joint proposal for consideration by CEB at its first regular session of 2017.

22. The Vice-Chair brought to the Committee's attention the discussion paper prepared by the joint task team as well as the draft proposal of the United Nations Development Group on leadership. She informed the Committee that the High-level Committee on Programmes had also taken up this item at its thirty-second session, held on 29 and 30 September 2016.

23. The discussion paper was introduced by Claire Messina, the Deputy Director for Programme Management and Business Development at the United Nations System Staff College. She indicated that agencies had expressed a preference for a "framework" — a lighter and less prescriptive format than a "model" — to serve as guidance and to lead to concrete applications at the agency, inter-agency and system-wide levels. The task team recommended a focus on characteristics that were new or different from those in existing competency models.

24. Ms. Messina noted that the process to develop the framework would be highly participatory, with a view to leading to a high level of ownership by United Nations system entities and therefore a high uptake of the framework. It would also seek to model some of the behaviours to be included in the framework itself, namely: the co-creation of both process and framework; the involvement of United Nations staff across functions, levels and locations; and consultation with non-United Nations stakeholders. As indicated by the Vice-Chair, the framework would incorporate and build upon the work done by the Working Group on Leadership over the past two

years, which had articulated the United Nations system's higher-level values and the identity of its leadership as civil servants. The joint task team would complement it by going into more detail on what leaders should do and how the framework could be implemented.

25. The Deputy Director highlighted the three major new implications of the 2030 Agenda for the leadership framework identified so far by the task team: system thinking, co-creation and managing change and innovation. She elaborated that the system lens was needed to effect change in the context of the complex and demanding 2030 Agenda, and that this proficiency must be strengthened among staff. Co-creation was the step beyond coordination and collaboration, and was necessary to overcome silos within the United Nations system and to improve work with outside partners. Innovation was key to changing the way the United Nations system organizations worked.

26. On behalf of the task team, Ms. Messina welcomed the Committee's feedback and guidance on the elements presented, and sought additional views on how leadership characteristics in support of the 2030 Agenda differed from current leadership concepts, and on how to embrace and leverage the differences in the United Nations system while striving for a common framework, as well as on what would make the framework inspiring to staff.

27. John Hendra, the Co-Chair of the Working Group on Leadership, introduced the Committee to the work the Working Group had undertaken since 2014. He highlighted that, in order to look at leadership comprehensively, the membership of the Working Group had been extended to include several entities not part of the United Nations Development Group, including the Departments of Safety and Security, Peacekeeping Operations and Political Affairs, and the Office for the Coordination of Humanitarian Affairs (OCHA).

28. To inform its proposal, the Working Group had reviewed the implications of the 2030 Agenda as well as of other important policies, including the Human Rights Upfront policy, the revised job description of Resident Coordinator and United Nations Country Team Code of Conduct, the revised Resident Coordinator Competency Framework, the leadership principles in the redesign of the performance appraisal process for Resident Coordinators/United Nations country teams, multiple policy guidance notes and peacekeeping reviews and policies. The Working Group had facilitated discussions at a series of leadership seminars convened with resident coordinators, members of United Nations country teams, senior headquarters leaders and others in New York, Geneva and Bangkok, culminating in the dedicated leaders' discussion held at Battery Park, New York, in the summer of 2015. To further refine the concept, it had also facilitated a dedicated session among Assistant Secretaries-General and other leaders at a retreat organized by the United Nations Development Group Advisory Group in 2015.

29. The proposed leadership model identified seven principle characteristics of a United Nations leader: norm-based, principled, accountable, multidimensional, transformational, collaborative and self-applied. The model was grounded in the Charter of the United Nations, norms and standards from across the United Nations system and treaties and declarations. It looked across the United Nations pillars with a view to being fit for purpose in support of the integrated 2030 Agenda, including to promote peace and security, protect human rights, address humanitarian needs

and advance economic and social progress and development. The Advisory Group had approved the model in September 2016, and it was to be presented to the United Nations Development Group for endorsement during the week of 10 October 2016. Already, the concepts of system thinking, co-creation and innovation identified by the joint task team were reflected in the leadership model.

30. In concluding his remarks, Mr. Hendra stressed that ambition was critical in the context of transformational leadership. This joint effort on leadership had to identify what culture would enable the United Nations system to react in a more integrated and innovative manner in the context of the 2030 Agenda. It would be necessary to define transformative leadership and identify how to create an environment to retain current staff and attract future talent with the ability to support the ambitious agenda. On behalf of the Working Group, he expressed appreciation for the opportunity to share its proposal and interest in coordinating with the High-level Committees on Management and on Programmes to bring the work together and elevate it for consideration by CEB.

31. Before opening the floor for discussion, the Vice-Chair underscored the intent of CEB to develop more than a human resources tool, rather envisaging a higher-order effort by the three high-level committees to ensure that leadership could leverage the specialization of their entities in such a way that was greater than the sum of its parts and demonstrated the value added of the system.

32. The Committee was supportive of the work completed by both the joint task team and the Working Group on Leadership and looked forward to considering a unified and comprehensive joint product for submission to CEB at its first regular session for 2017. The Committee agreed that the framework should be a strategic instrument to promote organizational change, going beyond a traditional narrow human resources tool. Members supported the intent of the three high-level committees of CEB to develop tools and guidance to operationalize the conceptual framework within organizations. The co-chair of the Human Resources Network offered the Network's full support to the initiative and its assistance in operationalizing the framework, once established.

33. The importance of using one common model that built on the existing competency frameworks to inform individual leadership initiatives was noted. Recalling the different agency business models and mandates, a number of members indicated their preference to apply their own requirements to the model and adapt it to their different contexts.

34. The difference between the terms "leadership" and "management" was highlighted. The Committee agreed that leadership could and should come from staff at any level, including among General Service and national staff, and, therefore, the framework should not be limited to senior managers but rather apply to all levels. It was hoped that the framework would inspire all staff to manage, think, lead and engage in different ways. Members saw targeting younger staff as key to achieving sustainable transformative leadership across the system, observing that there was greater potential to shape leadership expectations and behaviour earlier in a staff member's career. Furthermore, investment in junior and mid-level staff was seen as key to succession planning. At the same time, the importance of "leadership of the leaders" was recalled, whereby the senior-most officials needed to drive complex solutions to complex problems, spanning the system.

35. It was further suggested that the leadership framework be anchored in the United Nations values of respect for diversity, integrity and professionalism, and incorporate additional elements that were pertinent to the 2030 Agenda in the framework: inclusiveness, a people-centred approach, and gender awareness and sensitivity. System thinking was seen as one of the most important skills needed across the United Nations system at all levels, and work on that element was strongly supported. Private sector models and tools on the subject could serve to inform the framework.

36. The imperative for an environment conducive to producing a different type of leader was highlighted, yet it was noted that leaders were needed to create that environment in the first instance. Members saw the need for strengthened management and support mechanisms in order to effect change, particularly at the country level. In view of the numerous challenges faced by Resident Coordinators, the representative of staff federations stressed that it was necessary for entities to provide a supportive environment within which leaders could apply their skills, confident that they would be backed up by their organizations. The importance of taking a broader, integrated approach to change across leadership, culture and business processes was stressed.

37. One organization proposed that the United Nations system consider putting in place a "transformative leadership development programme", similar to the Senior Executive Service in the United States of America. Three elements were important, namely: (a) identifying managers with high potential for senior positions through a highly competitive process; (b) developing them through mentoring, projects and 360-degree feedback; and (c) securing commitments from the candidates to remain in the United Nations system and move where they were needed, and from the organizations to hire graduates of the programme into managerial level positions. Such a programme offered a number of potential benefits to the system, including a strengthened ability for leaders to face challenges; shortened recruitment times and improved succession planning through prequalification; a harmonized management discipline and style across the United Nations system; improved attraction and retention of talent through an identified upward career path; and a multiplication of investments made in the individual leaders through their networks and interactions with other staff. Such a programme would, however, be based on the expectation that participants should get priority over other applicants when recruiting for leadership positions. The possibility of the Staff College having a key role in administering the programme was raised, specifically in organizing inter-agency training, guiding mentoring, reviewing project work and certifying graduates. Governance and funding could come from participating organizations, with representatives contributing to screening applicants, reviewing certifications and placing graduates.

38. Some members supported further exploring the merits of the proposal for a leadership development programme. They would find it useful to understand what tools and capacities were already in place across the system and then determine what elements to make use of. It was suggested that the United Nations system might similarly learn from the leadership models and programmes of Member States. The Vice-Chair of the International Civil Service Commission (ICSC) recalled the past discussions on a proposed senior executive service, highlighting that some Member States had not supported the concept at that time.

39. A representative of staff federations called for enhanced dialogue with staff in the development of the leadership framework and also stressed the importance of transparency in facilitating the embrace of change among staff, for example, in relation to any training or assessment programmes that might be implemented. Members echoed the importance of staff buy-in in order to achieve transformational change.

40. In wrapping up the session, the Vice-Chair of the Committee restated the Committee's agreement that the framework should (a) be applicable to different levels within the United Nations system organizations, including the senior-most and emerging leaders; (b) be universal in application but subject to adaptation to different agency contexts; (c) be permeated by core United Nations values; (d) reflect the cross-disciplinary nature of the system's work; and (e) address different types and levels of risk. She also highlighted the opportunity to involve actors beyond the system in developing the model.

41. The Vice-Chair thanked all the members who had contributed to the work to date, both through the joint task team and the Working Group on Leadership, and looked forward to the work being brought together into a one unified and comprehensive proposal, reflecting the perspectives and expertise of all three committees in a joined-up manner, including on the operationalization of the framework, for the first regular session of CEB for 2017.

42. **The High-level Committee on Management:**

(a) Requested the CEB secretariat to devise a modality to converge on a unified proposal by the three CEB pillars on a United Nations system leadership framework, taking into account the input provided by the discussions in both Committees and in the United Nations Development Group, for consideration by the Committee at the thirty-third session, with a view to submitting it to CEB for its consideration at its first regular session of 2017;

(b) Recognizing that the development of the leadership framework is part of a bigger process of organizational and cultural change, requested the secretariat of the Committee to explore and propose ways to exchange information and best practices on organizational change initiatives.

B. Human resources management in support of the 2030 Agenda for Sustainable Development

43. The Vice-Chair introduced the item recalling that — with the decisions taken at the General Assembly on a revised compensation package for internationally recruited staff — the ICSC Comprehensive Compensation Review had entered into a second phase: the review of the other staff categories. So as to approach this task holistically, ICSC had decided that, before going into the concrete compensation discussions, a review of the current use of staff categories and the use of the current contractual framework might be useful. The Vice-Chair noted that organizations were very much concurring with this approach, since the discussions on readiness to implement the new 2030 Agenda for Sustainable Development were clearly pointing towards the need for a high-quality, agile workforce that would be able to deliver results in an increasingly resource constrained and less predictable environment.

44. The Vice-Chair informed that the approach and criteria for this new phase of the ICSC Comprehensive Compensation Review were discussed at the recent session of ICSC held in July in Geneva, in preparation of which the Human Resources Directors held a retreat in April in Vienna. The Vice-Chair also highlighted that the 2030 Agenda put an emphasis on national implementation and partnerships, and the discussion was a pertinent one to establish in more detail what exactly that would mean for the characteristics and composition of a future United Nations workforce. More in-depth discussions were also needed on how to ensure the attractiveness of the United Nations as an employer, on the one hand, while aligning the staffing patterns with the underlying funding constraints, on the other. The Committee was therefore asked to provide strategic guidance on the future directions of the discussion.

45. The Vice-Chair of ICSC briefed the Committee on the deliberations of ICSC in July 2016. He informed that the ICSC secretariat was preparing a deeper analysis of the practices in other international organizations and the individual practices and challenges in United Nations system organizations. The Commission intended to ensure that its proposals met the needs of organizations, thus constructive suggestions and input from organizations were highly encouraged. With regard to defining compensation for locally recruited staff, the Vice-Chair confirmed a need for the revision of the salary survey methodology, highlighting in particular the increasing challenge of finding an adequate number of comparator entities for the salary surveys.

46. The Co-Chair of the Human Resources Network noted with appreciation the constructive engagement with ICSC during the compensation review just completed. She informed that the Network had identified and communicated a range of drivers that needed attention in the new review, including: (a) increasing pressure for cost-effectiveness, and organizational agility; (b) a requirement for more national implementation and a consequent move from headquarters-based to field-based staff; (c) a greater or expanded use of and growth in locally recruited staff and an increasing need for local capacity, and a greater availability of local capacity and skills than in the past; (d) an increase in shared services from Headquarters and regional locations and in centres of excellence for delivering core administrative functions; (e) staff safety and security considerations that have obligated organizations to reduce their footprint in hardship locations and to deliver as much as possible from a neighbouring regional or subregional hub or office, with the consequent need for fewer restrictions and constraints in the work assignable to National Professional Officers; (f) the lack of career progression across categories; and (g) operational rigidity on the use of National Professional Officers.

47. Against that background, one of the short-term requests by organizations included the adjustment of the use of National Professional Officers to new realities and making the criteria of use more flexible, with regard to two aspects. First, currently only nationals of the country of the duty station can be recruited; the Network would like to see that adjusted. Secondly, the current restriction that National Professional Officers can only work in a national context does not apply to Professional staff or General Service staff, and it is limiting, in particular given the increasingly regional and interconnected nature of humanitarian and development work.

48. A third element that would merit further discussion was the current restriction that National Professional Officers can only be used outside of headquarters duty stations. To fill certain professional positions such as architects or medical doctors, organizations routinely and deliberately resort to nationals of the country of the duty station for practical reasons but currently need to recruit them as international staff. This view is largely shared among the Human Resources Network. However, it would be imperative to carefully manage the workforce composition with such flexibilities. An important angle was the preservation of the international character of the United Nations workforce. One way of addressing this would be to agree on a set of basic criteria that would determine when a given position would have to be recruited internationally.

49. The Co-Chair further reported on the outcome of a strategic workshop organized on the matter in April by the Human Resources Network. The main topic of that event was how to further simplify the administration of various staff categories and contractual modalities. It was highlighted that, as a vision, only the recruitment approach (internationally or locally) and the related method of setting compensation (Noblemaire principle versus Flemming principle) should be used to differentiate staff modalities, and further discussions would be needed to analyse in detail the practical implications of such simplification.

50. Finally, the Co-Chair updated the Committee on the ICSC review of the implementation of the contractual framework. In general, organizations confirmed that the framework was broad enough for the needs of organizations and had led to simplification by reducing the number of contract types. A number of organizations, in particular the funds and programmes, however reported challenges with contract modalities for project-based, truly time-limited project appointments. She informed that a working group was currently preparing a discussion paper on the subject that would be discussed in the Human Resources Network in November, with the intention of submitting it as a conference room paper at the next session of ICSC.

51. In the subsequent discussion, organizations expressed support for attempts to enhance flexibility and to further simplify the provisions for the use of National Professional Officer staff. It was highlighted that many organizations were expected to maintain a significant field presence and that is was unrealistic to expect that such presence would only be staffed with internationally recruited staff. A number of organizations were supportive of looking further into the possibility of employing National Professional Officers at headquarters duty stations. Some organizations highlighted the importance of not creating unintended inequalities and suggested that the Human Resources Network develop a comprehensive business case to determine the magnitude of the issue, as well as the advantages and disadvantages of changing the current use of National Professional Officers, including the implications of changing the job descriptions. This would ensure that proper safeguards were in place. It was also highlighted that career development for national and local staff would need further focus and strengthening. One organization highlighted that security provisions needed to be strengthened in an equitable way, regardless of the staff category. Another organization indicated that the new 2030 Agenda for Sustainable Development was expected to be implemented through an approach "as local as possible, as international as necessary".

52. The representative from the staff federations highlighted the high educational level of the current National Professional Officer staff. He expressed the wish for better career development opportunities for such staff, including by advancing through various staff categories. He also highlighted that the equity challenges should be carefully addressed, when staff of different categories worked in similar jobs. Administrative complexity should not be increased through the introduction of new categories of staff such as regional professional officer. Another aspect that required careful consideration, in his view, was the need to preserve diversity and the international nature of the United Nations workforce. He expressed the opinion that the current contractual modalities would suffice for the type of work that United Nations organizations were expected to deliver. The United Nations Medical Director highlighted the need to also review the classification and use of medical professionals, so as to secure sufficiently skilled personnel in the light of trends towards higher educational levels in the profession.

53. The Vice-Chair of ICSC indicated that its secretariat was currently compiling further experiences, challenges and expectations with regard to a more flexible use of National Professional Officers, following the discussion at the recent session of the Commission. He highlighted that an introduction of regional professional officers might however increase undesirable administrative complexity. He also suggested discussing further how the international character of the United Nations could be preserved, for instance by agreeing on a set of criteria that would require the recruitment of international staff for a given position. He also invited organizations to share their concrete proposals with regard to an additional project-based appointment modality.

54. **The High-level Committee on Management:**

(a) **Took note with appreciation of the briefings from the Human Resources Network and ICSC;**

(b) **Welcomed the availability of ICSC to carefully take into account the needs of the organizations in the ongoing review, and confirmed its continued willingness to actively engage in the discussion of the second phase of the review in the same consultative manner that was adopted in the first phase;**

(c) **Requested the Human Resources Network to actively engage with ICSC as the primary interlocutor of organizations, decided to form a new strategic group to guide the second phase of the ICSC review and requested the CEB secretariat to undertake consultations towards the establishment of the group;**

(d) **Noted its expectation that the outcome of the review should lead to adequate, flexible tools that would allow organizations to respond in an agile and cost-effective way to their specific challenges in the context of the 2030 Agenda for Sustainable Development.**

55. The Vice-Chair of the Committee then introduced the other subject under the agenda item, the proposal for the joint provision of classification and reference checking services. She recalled that the subject was first introduced to the Committee at its thirty-first session, in line with common principle No. 9 on effective service delivery. At that time, the initiative was welcomed by the Committee. She highlighted that the United Nations system already had a range of

experiences with joint initiatives and services, in particular in human resources, in very different settings: from the provision of human resources services by one organization to others (as was the case for the United Nations Office for Project Services and the United Nations Development Programme (UNDP)); joint programmes such as UN Cares; and institutionalized settings such as ICSC or the Staff College. The system should benefit from those experiences when designing new initiatives.

56. The Co-Chair of the Human Resources Network reported that the Network had continued its work on this initiative, under the leadership of the United Nations Population Fund (UNFPA) and UNDP, and that the lead agencies had invited some organizations with experience in service centre environments to an expert workshop at United Nations Volunteers in Bonn in August. The Network had subsequently discussed the document currently before the Committee, and members had provided further comments, the summary of which had been shared with the Committee as an input to the discussion.

57. The Co-Chair highlighted that document CEB/2016/HLCM/19 and Add.1 was a progress report, and indicated that further details would need to be worked out in order to arrive at a full pricing model, cost-benefit analysis and associated cost-sharing models. She noted that the majority of the organizations were interested in principle in joining, for either one or both of the services. Some agencies, in particular smaller ones, were interested in an ad hoc use. One of the details to be further worked out was how to handle and distribute one-time investments, and also how to ensure that a hosting organization, given the expressed preference for "pay-per-use models", could reliably plan the financial and personnel resources.

58. In the subsequent discussion, organizations voiced their continued support for the initiative. Some highlighted the need to further clarify the expected services for reference checking, including professional accreditations (e.g., for medical professionals), criminal records and work-related references. In general, organizations were convinced that such joint services lead to qualitative improvements along with financial benefits. Some smaller agencies indicated their interest to participate, albeit only on a case-by-case basis. Some organizations highlighted that they might not wish to resort to such joint services but would nevertheless be keen to participate in the underlying structured inter-agency information-sharing. While some agencies suggested using existing expertise in service provision, others highlighted the expectation that a structure be devised which allowed for a truly joint centre, including joint management, rather than service provision by one agency for others. Members of the Committee confirmed the need for in-depth financial and risk management preparation, suggested that the next steps should involve financial and budgetary experts and noted the importance of diligently reviewing the lessons learned from similar initiatives before embarking on the operationalization of the joint services. There was consensus on the fact that organizations would only be able to join if the overall costs were equal or lower to the ones currently paid for these services, and thus a detailed cost-benefit analysis was critical.

59. The United Nations Secretariat highlighted the recent endorsement by the General Assembly of the global service delivery model, geared towards achieving the internal consolidation of the Secretariat and the streamlining of human resources

services. The Under-Secretary-General for Management indicated that, given the magnitude and challenges of the endeavour, this project would have to take priority in the coming years over other inter-agency initiatives for joint human resources services. Once the initial consolidation was achieved, the Secretariat would further assess the extent to which the initiative might be beneficial for the Secretariat.

60. In reflecting on the discussion, the Co-Chair of the Human Resources Network highlighted the need for a dedicated project management structure and approach going forward. Given also that this initiative would need input from the Finance and Budget Network, it was suggested that the CEB secretariat should prepare such a project approach and identify a suitable project manager after consultation with the various stakeholders. For the thirty-third session of the Committee, the project manager would prepare an in-depth analysis of several options and a detailed financial analysis, also taking into consideration all necessary legal aspects.

61. **The High-level Committee on Management:**

(a) **Took note of the progress report on the joint provision of services fr[illegible] job classification and reference checking (CEB/2016/HLCM/19 and Add.1);**

(b) **Requested the Human Resources Network, in consultation with [illegible]he Finance and Budget Network, to come up with a detailed project pro[illegible]sal, including a range of operational and hosting options, associated cost-b[illegible]nefit analysis and pricing models, taking into account different organizatio[illegible]l sizes and needs;**

(c) **Noted that the success of the initiative would depe[illegible]d on a comprehensive and transparent effort to identify the most effective [illegible]olution to meet the needs of the organizations, based on a thorough compa[illegible]ison of the possible organizational set-ups, location, hosting, and mana[illegible]gement and governance arrangements, taking into account lessons lear[illegible]ed and the experience from previous and existing set-ups of common servic[illegible].**

C. Sexual exploitation and abuse

62. The Vice-Chair of the High-level Committee on Manage[illegible]ent recalled that the Committee, at its thirtieth session, held in October 2015, had expressed strong support for the Secretary-General's initiative to strengthen [illegible]he response to sexual exploitation and abuse and for the recommendations inc[illegible]uded in the Secretary-General's report on special measures for protection fro[illegible] sexual exploitation and abuse (A/69/779).

63. In the same session, the Committee noted the li[illegible]kage between the response to sexual exploitation and abuse and the roll-out o[illegible] the Human Rights Up Front Initiative. The importance of mainstreaming appr[illegible]aches to ensure the prevention of sexual exploitation and sexual abuse in the work of United Nations system organizations, and to share information to th[illegible] end, was also highlighted. A task force on sexual exploitation and abuse, led [illegible]y the Department of Field Support of the United Nations Secretariat, was estab[illegible]shed by the Committee to review the recommendations contained in the repor[illegible]of the Secretary-General, with a view to deciding how these proposals might bes[illegible]oe carried forward.

64. The Vice-Chair noted that in March 2016 the Secretary-General had appointed the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse, Jane Holl Lute, and that work in this area had since been subsumed under her leadership. She furthermore mentioned that the Chair of the High-level Committee on Management and the Special Coordinator had met in July 2016 and together had emphasized the importance of the strongest possible action on sexual exploitation and abuse, in particular the implementation of a policy of zero tolerance and coordinated inter-agency cooperation. The Vice-Chair also highlighted the linkage to the Committee's ongoing discussion on the strategic plan for 2017-2020, especially to its work on risk management.

65. The Special Coordinator, participating by audio link from New York, began her presentation by outlining the responsibilities of her office. It was explained that the instructions by the Secretary-General were to work across the United Nations system, including the funds and programmes, and where appropriate, the specialized agencies, to make concrete, measurable progress in the collective ability of the United Nations to prevent sexual exploitation and abuse or to respond rapidly and effectively when it occurred. She elaborated that her office's part in this endeavour was to organize, prioritize and unify the work of the United Nations system on this issue. In particular, the Special Coordinator mentioned the role of her office in coordinating ongoing initiatives and sharing information in order to raise the visibility of work in progress among the United Nations system organizations.

66. Ms. Lute stressed the great interest of Member States, the staff, the public and beneficiary populations of United Nations services in the topic and highlighted that a progress report, following on the Secretary-General's report, had already been provided to the General Assembly. She also underscored that the response to sexual exploitation and abuse was a priority for all parts of the United Nations.

67. The Special Coordinator introduced two specific proposals to improve the system-wide response to sexual exploitation and abuse, the first of which was a shared electronic screening tool. It was explained that the tool would serve the identification of individuals who had been dismissed from the United Nations system for a cause related to sexual exploitation and abuse and were reapplying to positions within the system. This shared electronic functionality tool would be manually fed by participating organizations with information on staff who had been dismissed, or repatriated on disciplinary grounds related to sexual exploitation and abuse. In the case that such an individual applied to a position in another entity, the tool would recognize similarities and trigger a response, which would inform the using entity of what other peer entity possessed the original information on the individual. The two organizations would then be in a position to liaise directly in a confidential way and take the appropriate measures.

68. Ms. Lute expressed her hope to build cross-system cooperation on screening partnerships and noted that the proposal was still under discussion but would be shared for review with all member entities of the Committee, as appropriate. Observing that some entities had already started working together and had initiated internal consultations on the tool, the Special Coordinator invited members of the Committee willing to participate in the project to provide comments to the existing proposal. The launch of the tool was foreseen for December 2016.

69. The second proposal, a global repository of allegations for all United Nations entities, was presented as it related to the electronic functionality tool. The initiative required the establishment of a common database of serious allegations of sexual exploitation and abuse, including their ultimate disposition. This repository would be accessible, under appropriate rules, to all organizations of the United Nations system. Work was still needed on the terms of reference for operating and hosting the database. The Special Coordinator pointed out that the global repository was an important way to help to streamline cross-agency collaboration on the prevention of sexual exploitation and abuse.

70. In the ensuing discussion, the Committee reiterated its solidarity with this work and highlighted the importance it attached to it. Support was voiced for the proposal to share information across the United Nations system to prevent the re-recruitment of staff that had been found guilty of misconduct.

71. The Co-Chair of the Human Resources Network stressed the Network's readiness to cooperate on finding an appropriate solution so that the United Nations system did not rehire offenders. It was underscored that the emphasis should also be on prevention. Linking the issue to other topics discussed by the Committee, such as leadership models and risk management, the Co-Chair called for a more holistic approach to the response to sexual exploitation and abuse. The role of human resources directors regarding prevention and the protection of victims of sexual exploitation and abuse was seen as going beyond avoiding the recruitment of offenders. In order to strengthen managers' understanding of risk and their approach to mitigating opportunities for sexual exploitation and abuse, a more comprehensive approach, encompassing the inclusion of the topic in competency frameworks, codes of conduct and induction programmes, was suggested.

72. It was noted that in many countries inter-agency mechanisms were already in place to cover work on sexual exploitation and abuse, and the foreseen establishment of posts for the coordination of the response to it in countries with the highest number of allegations was commended.

73. One member welcomed the establishment of the trust fund for victims of sexual exploitation and abuse and stressed the importance of ensuring the complementarity between this trust fund and other trust funds that cover related areas. Support was voiced for the indication in the Secretary-General's report on special measures for protection from sexual exploitation and abuse to cover immediate assistance to victims under mission budgets in the absence of other available means.

74. It was observed that cases of sexual exploitation and abuse were a shared responsibility, as cases did occur across organizations and missions of the United Nations system and were committed by international staff, national staff and contractual staff. The importance of the consistent reporting of allegations was emphasized.

75. The representative of the Legal Network informed the Committee that the Office of Legal Affairs of the United Nations Secretariat had taken the lead in drafting a system-wide policy to balance confidentiality and accountability, and stated that the Office would keep the members of the Legal Network informed of this exercise and would share with them the policy, once it was finalized. She also

noted that the Legal Network would examine the proposed electronic screening functionality and the global repository of allegations as soon as they were concrete in order to ensure that the tools would withstand legal challenges.

76. Following the discussion, Ms. Lute thanked the members of the Committee for their comments and re-emphasized the importance of the proposed electronic functionality tool through which vetting and sharing information could help prevent sexual exploitation and abuse. Regarding legal issues, she pointed out that work had already been done in various parts of the system on reconciling confidentiality, consent of victims and the need for accountability in the organization, and that it was her intention to build on this work.

77. In her closing remarks, the Special Coordinator outlined the next steps her office intended to tackle by referring to a recently conducted survey of staff, the results of which would serve as the baseline for prioritizing work programmes. She noted that agencies, funds and programmes had already begun, on request by Member States, to report serious allegations of sexual exploitation and abuse on a monthly basis. She noted that the organization was under heightened scrutiny with respect to sexual exploitation and abuse and she urged everyone to confront the topic with courage and conviction so that the United Nations could lead globally on standing up to sexual exploitation and abuse.

78. The Vice-Chair thanked the Special Coordinator for her presentation and wished her continuing success with her important work.

79. **The High-level Committee on Management:**

(a) Took note with appreciation of the briefing by the Secretary-General's Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse;

(b) Stressed the importance it attaches to the strengthening of the response to sexual exploitation and abuse and expressed its support for a holistic approach with a strong emphasis on prevention;

(c) Recognized the linkages of the response to sexual exploitation and abuse to elements in the strategic plan for 2017-2020, including planned activities on the strengthening of ethics and codes of conduct, the development of a new leadership framework, the initiatives towards the empowerment of women and all work on accountability and risk management;

(d) Committed to share information and best practices and contribute to reporting on sexual exploitation and abuse;

(e) Committed to provide, through the Human Resources Network and the Legal Network, the support and technical advice that would be required by the Special Coordinator on the project proposals related to the electronic screening functionality tool and the global repository of allegations.

D. Cost of oversight and accountability mechanisms in the United Nations system

80. The Chair of the Committee opened the discussion by recalling that in 2014, the Committee had endorsed the three lines of defence model as the reference "risk management, oversight and accountability model for common positioning in the United Nations system with governing bodies", and that the Committee also had requested the Finance and Budget Network to "conduct an assessment of costs related to the oversight and accountability structures and mechanisms, for the entire United Nations system" (see CEB/2014/5, para. 46 (c)).

81. Document CEB/2016/HLCM/21 was introduced by the Co-Chair of the Finance and Budget Network, Nick Jeffreys, who noted that the costing exercise had represented a major undertaking for the Network, with 23 organizations participating in the exercise under the leadership of UNFPA. Mr. Jeffreys underlined that the organizations had made a very rigorous attempt to quantify costs that were, by their nature, rather difficult to quantify. While efforts were made to maintain a harmonized approach in arriving at the cost data, some variability in the results between organizations existed, owing to variances in business models and structures.

82. Andrew Saberton, the Director of the Division for Management Services of UNFPA, presented further details of the costing exercise, including the methodology applied and the results obtained. He described the costing template and the various elements of the first, second and third lines of defence that had been captured by each organization. It was noted that the costs of external lines of defence, as well as senior management costs dedicated to oversight and accountability, had also been captured. Mr. Saberton noted that in terms of methodology, actual costs were used where possible and predominantly for the third and external lines of defence, and that in other areas, assumptions of cost allocation and best estimates for apportionment had to be applied, predominantly for the costs associated with the first and second lines of defence. It was noted that in general, external and third line of defence costs were easier to identify and measure, whereas costs related to the first and second lines of defence, as well as senior management costs, were more subjective and thus indicative only.

83. When providing an overview of the results of the costing exercise, Mr. Saberton noted that the 23 United Nations system organizations that had completed the survey had spent $1.9 billion in oversight and accountability in 2014, representing approximately 5.5 per cent of their total expenses. He also noted that the percentage of an agency's total expenditure dedicated to oversight and accountability ranged up to a maximum of 18 per cent, with a median result of approximately 10 per cent. He further noted that the greatest investment was in the first and second lines of defence. Mr. Saberton also presented the results of the first attempt of the Finance and Budget Network to measure the impact of the resources dedicated to oversight and accountability structures across the system, as set out in annex I to the report. It was noted that in general, the survey responses illustrated a widening culture of accountability and a declared commitment by United Nations organizations to strong oversight and accountability, as well as an awareness of the

importance of the required structures, tools and policies, and of their ongoing efforts to strengthen some areas of weakness.

84. In the ensuing discussion, members of the Committee thanked the Finance and Budget Network for the work done in preparing the report, and reflected on the potential uses for the results of the costing exercise and the ways in which the Network could further develop this work. There was general agreement among members of the Committee that the report should be kept for the internal use of the Committee and should not be published externally at that stage. Some members also highlighted the relationship between oversight and accountability, noting that a strengthening of accountability leads to a reduction in the resources needed for oversight.

85. The specific issue of costs of support provided to governing bodies was raised, with members of the Committee noting that the magnitude and composition of these costs varied between organizations. The Committee agreed that it was valuable to capture these costs in a comprehensive manner, as they represented the true cost of the governing bodies.

86. The Committee then received a statement by the Representatives of Internal Audit Services of the United Nations Organizations (UN-RIAS), delivered by Susanne Frueh, the Director of the Internal Oversight Service of UNESCO. UN-RIAS welcomed the three lines of defence model, as it would help organizations to think constructively about how the individual components of the model operated practically in their own organizations. UN-RIAS noted that the data collected by the Finance and Budget Network constituted an excellent starting point and supported the recommendation to continue this effort with a focus on how internal controls fit with the model. UN-RIAS supported a more in-depth reflection on the first and second lines of defence, and suggested the development of improved definitions between the two lines. UN-RIAS raised a number of other points for consideration, including that the model seemed to equate each line of defence with assurance, and that the analysis did not address the issue of the relative assurance provided, noting that the level of assurance provided by each line was variable and could only be determined through assurance mapping and the testing thereof. Regarding the introduction of an external line of defence by the Finance and Budget Network for the costing exercise, UN-RIAS noted that this might cause confusion, as it mixed management activities (support to governing bodies and jointly financed oversight) with fiduciary roles such as external audit. Regarding the attempts to measure the effectiveness through surveys, UN-RIAS found this to be a useful innovation and encouraged more organizations to report their results. Regarding the interpretation of the data, UN-RIAS encouraged the further development of robust cost-accounting processes, to have in future a solid evidence base upon which to draw conclusions. UN-RIAS agreed that the principles of the model should be shared more widely with stakeholders to improve their understanding of the purpose of internal controls and how they fit with the model, noting that UN-RIAS would be happy to engage further in the development of this instrument.

87. In terms of suggestions for the future direction of this work, some members of the Committee noted that owing to the difficulties and labour-intensive efforts in obtaining robust data on the costs of the first and second lines of defence, it would be useful to focus more on developing a time series of costs for the third line of

defence, and to also further develop measures of impact of the resources dedicated to oversight and accountability functions, while recognizing that there may be difficulties in establishing solid causality links.

88. **The High-level Committee on Management:**

(a) Commended the Finance and Budget Network on its report on the costs of oversight and accountability structures in the United Nations system and on the useful analysis contained therein;

(b) Noted that the study illustrated a widening culture of accountability and a declared commitment by United Nations organizations to strong oversight and accountability, as well as an awareness of the importance of the required structures, tools and policies, and of their ongoing efforts to strengthen some areas of weakness;

(c) Recognizing that this was the first study of this nature undertaken in the United Nations system, agreed to take the report as a basis for future discussions, and to use it as an internal document for reference by members of the Committee when establishing internal benchmarks, and in helping each organization to use common language when interacting with Member States in discussions about internal control and compliance;

(d) Requested the Finance and Budget Network to continue with this exercise and consider the quantification of costs for 2016 with a view to developing a time series for the third line of defence;

(e) Further requested the Finance and Budget Network to explore the possibilities for measuring the impact of oversight and accountability structures in place across the United Nations system and report back to the Committee thereon.

E. Common definitions related to fraud and implementing partners

89. Yukio Takasu, the Under-Secretary-General for Management of the United Nations Secretariat, introduced the draft terms of reference of the Task Force on Common Definitions Related to Fraud and Implementing Partners, noting that the Committee was engaging in this work in response to a mandate by the General Assembly and to requests from the Board of Auditors. He also referenced the Anti-Fraud and Anti-Corruption Framework that had recently been launched by the United Nations Secretariat.

90. Mr. Takasu recognized that some work in this area had already been carried out by groups such as UN-RIAS and under initiatives such as the harmonized approach to cash transfers, and that therefore the Task Force would undertake to review the work already done across the United Nations system in order to build upon existing efforts.

91. Linda Ryan, the Controller of the Office of the United Nations High Commissioner for Refugees (UNHCR), who will be co-leading the Task Force together with the United Nations Secretariat, also provided introductory remarks, noting that the initial stage of work would focus on common definitions and would draw on the wealth of the resources and information available, and that the Task

Force would engage colleagues with varied experience, including from the Procurement Network and those with expertise in managing partnership arrangements.

92. In discussing the draft terms of reference, the Committee emphasized the importance of having participation in the Task Force from a wide range of expertise, including programmatic expertise, noting the sensitivity of defining implementing partners and the need to ensure that the focus was not taken from a procurement angle. One member suggested that establishing a set of common principles rather than precise definitions might have more operational value for the United Nations system. It was agreed that it should be a priority of the Task Force to start initiatives for sharing information on fraud cases as soon as possible; however, in order to be in a position to share information effectively, common definitions would need to be agreed first.

93. In closing, the Chair thanked the United Nations Secretariat and UNHCR for their commitment to lead this important exercise, noting that one of the priorities of the Committee's strategic plan for 2017-2020 was to increase the capacity of the United Nations system to work effectively with multi-stakeholder and multisectoral partnerships, and that the work of the Task Force would be very important in this very precise respect.

94. **The High-level Committee on Management:**

(a) **Approved the terms of reference for the Task Force, noting that although the work on common definitions would be completed first, the work related to an information-sharing platform for implementing partners should also be commenced as soon as possible;**

(b) **Thanked the United Nations Secretariat and UNHCR for agreeing to lead the Task Force, and requested the Task Force to report back to the next session of the Committee on the progress of the deliverables set out in the terms of reference;**

(c) **Further requested the Task Force to draw on expertise from different perspectives when carrying out its work and to build upon relevant work previously undertaken, including work related to the harmonized approach to cash transfers.**

F. Programme criticality framework

95. Izumi Nakamitsu, the Co-Chair of the Programme Criticality Steering Group and Assistant Secretary-General and Assistant Administrator of UNDP, introduced the revised programme criticality framework to the Committee, also on behalf of the Assistant Secretary-General for Humanitarian Affairs and Deputy Emergency Relief Coordinator, who co-chaired the Steering Group. Ms. Nakamitsu outlined the revisions made to the framework to reflect the decisions of the Secretary-General's Policy Committee in January 2016 and the recent changes in the United Nations Security Management System, as well as some lessons learned and good practices from the field.

96. Ms. Nakamitsu recalled that the framework was an essential element of the United Nations security risk management approach in high-risk environments, providing leadership at the country level with the information necessary to take decisions as to what level of risk was acceptable for United Nations personnel working in that environment. Ms. Nakamitsu explained the key features of the revised framework, including that clearer guidance was provided to the United Nations country presence in terms of purpose and methodology of the framework, as well as on the roles and accountability of senior management in the field. System-wide oversight and support structures had been streamlined, including through the creation of the Steering Group, and advances made in the security management system, including the new United Nations Security Risk Management process, had been taken into account.

97. The Committee was informed that the revised framework would be translated into French and disseminated to all relevant field locations, and there would also be an effort to incorporate the framework into some of the training materials for staff operating in high-risk environments.

98. Craig Harrison, the Chief of the Policy, Compliance and Coordination Service of the Department of Safety and Security of the United Nations Secretariat, spoke on behalf of the Under-Secretary-General for Safety and Security and thanked the United Nations Children's Fund (UNICEF) for its previous leadership on programme criticality as well as UNDP and OCHA for continuing the work. Mr. Harrison noted that the Department had supported all the amendments and stressed that the framework was a crucial element together with the Security Risk Management process that was being rolled out, and that the Department would ensure that the new framework was integrated through its training.

99. The members of the Committee supported the use of the framework and welcomed the improvements that brought increased clarity and specificity to the linkages to the Security Risk Management process. The strengthened language in the framework on accountability and leadership at the field level was also welcomed. The Committee highlighted that although final accountability for programme criticality assessments rested with the Resident Coordinator or the Special Representative of the Secretary-General, it was crucial that programme criticality assessment exercises did not exclude any United Nations entities at the country level. Ms. Nakamitsu confirmed that the Programme Criticality Steering Group would further discuss how to broaden the involvement of United Nations entities.

100. The representative of the Coordinating Committee for International Staff Unions and Associations emphasized the importance of ensuring that staff were adequately protected, suggesting a need to monitor the new residential security measures that had been put in place.

101. **The High-level Committee on Management:**

(a) **Expressed appreciation for the work of the Programme Criticality Steering Group and approved the revised programme criticality framework for subsequent endorsement by CEB at its second regular session for 2016;**

(b) **Requested all organizations to implement the provisions of the revised programme criticality framework.**

G. Health support plans for duty stations worldwide

102. The Vice-Chair of the Committee recalled the comprehensive discussion held at the meeting held in March 2016 on the duty of care in high-risk duty stations. On that occasion, the Committee had expressed strong support for the inclusion of this area of work as one of its top priorities in the next strategic plan. And she noted that a key element of duty of care was the provision of adequate health support for staff in those locations.

103. The Vice-Chair indicated that, in this domain, adequate resourcing was essential, and highlighted the importance of making need assessments on the basis of a clear, risk-based methodology. Only evidence-based country health risk profiles would allow an informed discussion on the adequate structure and funding of medical services.

104. The Chair of the United Nations Medical Directors Working Group highlighted that resourcing should correlate with the risk in a specific environment, thus calling for the development of the health risk assessments model that was before the Committee, as a prerequisite for any funding discussion. The model was rooted in existing Enterprise Risk Management tools and techniques that were prevalent in most United Nations organizations.

105. The Co-Chair of the Human Resources Network confirmed that the proposal had found support and endorsement at a recent discussion held by the Network. She highlighted that it was becoming increasingly challenging to attract people to difficult duty stations, not only because of safety and security situations but also owing to the lack of communication of a clear health plan and sometimes the lack of adequate health-care facilities. The Network supported the leveraging of the presented risk assessment models, offering support in its application in the specific country environments, not least in an attempt to accelerate its application as widely as possible in a shorter period of time. She also reported that the Network, at its last meeting, had recommended a close collaboration with the Network's Field Group and the ICSC secretariat, to ensure that any results of health risk assessments would be considered in the periodic review of hardship classifications of duty stations.

106. In the subsequent discussion, organizations expressed their strong support for the initiative and approach. Some organizations stressed the need to include psychosocial aspects in the methodology. They also highlighted the need for such assessments to be conducted in partnership with all relevant stakeholders, not only to comprehensively assess the in-country situation but also to avoid duplication through parallel related exercises. Some agencies highlighted their willingness to collaborate in order to accelerate the implementation of the assessments. It was also mentioned that there was a need to better communicate what the United Nations system was doing in order to optimize health support to staff. Finally, it was highlighted that the deliberation, based on the assessment outcomes, on adequate structures and service delivery, was a crucial underpinning of a subsequent budgetary discussion. Looking deeper into where the United Nations was not operating its clinics as efficiently as needed, and examining potential savings and contributions to health insurance providers, should become part of such deliberations.

107. Representatives of the staff federations welcomed the initiative. They expressed the expectation that such assessments would be conducted comprehensively, including elements such as environmental pollution or mental health. They also highlighted that assessments and related interventions were not only needed for field duty stations, as recent surveys had equally shown health-related challenges at headquarters duty stations. Finally, they cautioned against the risk of such risk assessments being misinterpreted to justify lower health-related funding for certain duty stations.

108. The Co-Chair of the Finance and Budget Network welcomed the opportunity to be involved at an appropriate time. He also highlighted a potential link with the after-service health insurance working group, as this body was examining the extent to which local health-care providers could be used by United Nations staff and retirees more comprehensively.

109. The United Nations Medical Director welcomed the discussion and the support expressed, confirming her willingness to find ways with interested partners to accelerate the implementation of the initiative. She highlighted that health risk assessments would also provide efficiencies, given that they could replace similar exercises currently conducted individually by organizations.

110. The Vice-Chair thanked the United Nations Medical Directors Working Group for their work and confirmed the appreciation of the Committee for the progress.

111. **The High-level Committee on Management:**

(a) **Took note with appreciation of the briefing by the United Nations Medical Directors Working Group;**

(b) **Confirmed that a risk-based approach for health risk planning and mitigation was an essential foundation of the duty of care for staff;**

(c) **Requested the Working Group to consult with the Finance and Budget Network on possible funding modalities for the new approach to the health needs of staff once the model has been carefully defined in consultation with the Human Resources Network.**

H. Data Innovation Lab and United Nations system common documentation standard

112. The Vice-Chair of the Committee opened the item on the Data Innovation Lab and the United Nations system common documentation standard by noting that, as stated in the Committee's new strategic plan for 2017-2020, the digitalization of information promotes integration, coordination and transparency, and that the Committee would develop its agenda on a digital transformation of the United Nations system around the pillars of transparency, standards and data and information security. She also recalled that enhanced information management and the improved accessibility of United Nations documents and information was a priority of the Committee.

113. The Under-Secretary-General for General Assembly and Conference Management of the United Nations Secretariat, Catherine Pollard, began her

presentation by recalling that the main objective of the common documentation XML project was to define a common, standard format for United Nations parliamentary and normative documents so that they could be machine-readable. She noted that, in the past, the use of commercial software systems for document preparation frequently utilized propriety formats, leading to situations in which older documents were no longer electronically available as these formats became obsolete. This can be avoided by using an open source standard based on Extensible Markup Language (XML).

114. Ms. Pollard noted that since the United Nations was one of the world's largest producers of parliamentary documents, responsible for the production of the resolutions of the General Assembly and the Security Council that are now a major source of international law, machine-readability would allow for improved timeliness and reduced costs through reuseable content and automated formatting. Furthermore, a common standard supported faster multilingual search capabilities that offered enhanced linking of information and tracking of document versions, in addition to the multichannel dissemination of data, including access for people with disabilities.

115. The Under-Secretary-General also mentioned that the aim of the United Nations Secretariat went beyond making General Assembly documents machine-readable, but extended to re-engineering the multilingual document production workflow. This would allow for enhanced services to delegates, who would submit draft resolution text through an online authoring interface, with only new language transmitted to the translation and editorial services, who only needed to edit and translate new or modified text and reuse the previously translated text. She further noted that this initiative supported the implementation of the 2030 Agenda for Sustainable Development, which will require a robust review mechanism and a solid framework of statistical data to monitor progress, inform policies and ensure the accountability of all stakeholders. United Nations documents play a major role in shaping the global policy framework for pursuing the Sustainable Development Goals by defining policies and guidelines and setting standards.

116. The project, which commenced in June 2016, began with the working group of participant organizations defining a preliminary list of document classes that were representative of the types of documents produced by organizations within the United Nations system, while concurrently the two lead organizations, the Food and Agriculture Organization of the United Nations (FAO) and the United Nations Secretariat, carried out an in-depth document analysis that would lead to the application of the standard to the General Assembly resolutions and FAO Basic Texts. Going forward, a team of experts would use the information collected to draft the final guidelines that would be reviewed and eventually endorsed by the High-level Committee on Management Working Group on Document Standards, with the project expected to conclude by April 2017.

117. The Under-Secretary-General concluded her remarks by noting that organizations not currently participating were welcome to join the project, noting that wide participation ensured that the guidelines and standards created would take into account the needs and requirements of all organizations. Since the three leading entities (the High-level Committee on Management, FAO and the Department for General Assembly and Conference Management of the United Nations Secretariat)

were financing the project, organizations could join without making a monetary contribution, with the only cost involved being the human resources needed to describe their most representative documents and attend periodic virtual meetings.

118. The co-lead organization in this initiative, FAO, noted that the presentation fully captured the activities of the XML project, and recalled that the many Governments and institutions already used a similar standard for parliamentary documents.

119. The second topic in this agenda item, an update on the Data Innovation Lab project, was presented by Robert Opp, the Director for Innovation and Change Management at the World Food Programme (WFP), who began by noting that the exponential growth of computing power had enabled organizations in many private and public sectors to radically change the way data are used. He pointed out that companies such as Uber had grown enormously by being intensively data-driven, and suggested that the same approach could deliver benefits for sustainable development. Mr. Opp reminded the Committee that the Data Lab project, which is co-led by UNICEF and WFP, was one of four initiatives endorsed by CEB in its United Nations system approach to the data revolution. He noted that instead of creating a specific inter-agency structure to investigate the use of data for sustainable development, the lead agencies would collaborate across the system and with private-sector partners to conduct a series of six thematic workshops, each of which would explore a specific topic and would build upon the previous one.

120. The first workshop was convened in May 2016, hosted by Singularity University in the California Silicon Valley. Through workshops and presentations by technology-sector partners, the event sought to highlight key trends, areas of opportunity, risks and collaborations on new and emerging data sources and methods that the United Nations could explore. The second of the six events took place during the United Nations Week in September 2016 in New York. Hosted by Microsoft, the workshop explored specific cases presented by the participating United Nations organizations with the support of Global Pulse and external partners.

121. The presentation noted that the first two events highlighted the significant potential for using data, with significant scope for using new technologies to address gaps in the data available for decision-making by the United Nations and its stakeholders. The workshops had also revealed a strong appetite by private-sector firms to become involved in these activities. The presentation also noted that the workshops had included discussions on how to strengthen the capacity of the United Nations system to leverage the data revolution, including by enhancing the ability of organizations to translate challenges into solutions using data and analytics. Mr. Opp concluded by indicating that even though more than 20 organizations were now participating in the labs, all organizations were welcome to join.

122. During the ensuing discussion, members of the Committee expressed strong support for both initiatives, as flagship examples of the ongoing technological transformation that the United Nations system was undergoing. It was noted that the XML project represented an important qualitative contribution of open data by the United Nations and the Data Lab enhanced the system's capacity to utilize data for decision-making.

123. Regarding the Data Lab initiative, it was suggested that in addition to the harnessing of data for analytical purposes, the Data Lab might wish to consider how data collected and used by organizations could lead to new ways of conducting programmes. In addition, it was noted that data innovation activities were happening across the United Nations system, and although the Data Lab was bringing organizations together, there should be an emphasis on working together to achieve efficiency. Further comments stressed the need to broaden the vision of modernization, with an expressed request to the Information and Communications Technology Network to more fully explore ways to leverage technology for innovation both inside and outside United Nations system organizations. It was also generally agreed that the priority focus should remain on the ways that data could support the achievement of the Sustainable Development Goals.

124. Members of the Committee also offered their experiences in this area, highlighting the importance of strengthening internal knowledge-sharing capabilities and suggesting that internal competitions had been successful in generating and realizing innovative ideas.

125. The Committee also took note of potential obstacles that could inhibit the United Nations system from fully leveraging the data science being developed in the labs. For example, human resources policies requiring a certain number of years in a specialty for hiring at the Professional level might exceed the number of years a particular area of expertise may have existed, since these skills are relatively new in the industry. Also, it was noted that security of data can present a barrier to partnerships with some data providers, although there was work in the United Nations system currently under way to overcome this constraint.

126. In their final remarks, both Ms. Pollard and Mr. Opp thanked the Committee for their support and valuable input. It was noted that the International Aid Transparency Initiative was an important component to the data revolution approach that complemented the Data Lab initiative. Furthermore, it was pointed out that the purpose behind the Lab was to identify specific, concrete actions that agencies could take to better utilize data for guiding programmatic activities.

127. **The High-level Committee on Management:**

(a) **Thanked the presenters and all the contributions;**

(b) **Noted with appreciation the progress on these two transformational initiatives which are part of an overall organizational change management initiative in support of the broader 2030 Agenda for Sustainable Development;**

(c) **Recognized the significant implications and the potential of these initiatives to strengthen, throughout the system, innovation, cost-effectiveness, integrated approaches and knowledge management, and to support decision-making and partnerships within and outside the United Nations system;**

(d) **Committed to further developing a digital transformation agenda as reflected in priority five of the strategic plan for 2017-2020, on the basis of the ideas that will emerge from these projects, in particular towards further improving management practices through innovation.**

IV. Agenda item 3: any other business

A. Report of the Inter-Agency Security Management Network

128. Introducing the item, the Chair of the Committee explained that, in accordance with its new working methods, the High-level Committee on Management had been asked to take note of the report of the Inter-Agency Security Management Network, without further discussion. It was also noted that, while the reports of the Network were in general adopted without discussion, there was nevertheless the possibility of bringing specific issues to the attention of the Committee. The Chair therefore invited the members of the Committee to raise questions and share comments on any specific aspects of the report.

129. A number of members of the Committee expressed their appreciation for the work of the Inter-Agency Security Management Network, under the leadership of the Under-Secretary-General of the Department of Safety and Security and noted their agreement, in general, with the Network's report.

130. Concerns were raised by several members of the Committee regarding the text in the report on the jointly financed budget for the biennium 2018-2019, in particular the proposed increase of the budget. Members of the Committee expressed their expectation to receive more details, justification and prioritization on the preliminary budget.

131. The Co-Chair of the Finance and Budget Network brought to the Committee's attention that the cost-shared budget for safety and security remained an issue in the Network's discussions. In particular, the process for budget approval, the timeline and the roles of the Finance and Budget Network and the Inter-Agency Security Management Network in the budget process were still under discussion. It was noted that the joint working group of the two networks was trying to arrive at a mutually agreeable conclusion on the budget process.

132. The Vice-Chair of the High-level Committee on Management observed that within the framework of the 2030 Agenda for Sustainable Development, the organizations of the United Nations system were going to increasingly work together, including on the basis of financing mechanisms such as cost-sharing, joint financing and pooled arrangements. It was noted that the Committee should think of the jointly financed security budget in the broader context of delivering on the 2030 Agenda for Sustainable Development.

133. **The High-level Committee on Management expressed appreciation for the work of the Inter-Agency Security Management Network, took note of the report from its June 2016 session and requested that concerns expressed regarding the jointly financed budget be brought to the attention of the Chair of the Inter-Agency Security Management Network.**

B. United Nations International Year of Sustainable Tourism for Development

134. The United Nations General Assembly at its seventieth session declared 2017 the United Nations International Year of Sustainable Tourism for Development and

mandated that the United Nations World Tourism Organization (UNWTO) arrange for the celebrations.

135. The Director of the Administration Division of UNWTO presented the Committee with a road map of the celebration. Member organizations of the Committee were invited to participate in the celebration by adding activities they considered relevant to the International Year of Sustainable Tourism for Development to the calendar of the celebration. These might include, but were not limited to, the recommended activities outlined in the road map.

136. One member of the Committee welcomed the opportunity of the International Year of Sustainable Tourism for Development to extend awareness and action on the linkages between the promotion of children's rights and sustainable tourism development, in particular the prevention of sexual exploitation of children in travel and tourism, and urged the members of the Committee to accelerate action in this regard during 2017.

137. **The High-level Committee on Management:**

(a) **Expressed appreciation for the work of the Inter-Agency Security Management Network;**

(b) **Took note with appreciation of the presentation by UNWTO on the upcoming celebrations of the United Nations International Year of Sustainable Tourism for Development;**

(c) **Encouraged member organizations to explore possible ways in which they could use some of their planned activities to contribute to the celebration of the Year.**

C. Payment of pensions

138. The Under-Secretary-General of the Department of Management of the United Nations Secretariat brought before the Committee the issue of the delays in the settlement of pension payments. He reported that significant progress had been made in the Pension Fund secretariat, where additional resources were being deployed to expedite the settlement process. Organizations were urged to accelerate the submission of the paperwork required to process pension payments and the Under-Secretary-General announced the launch of an end-to-end review of the process.

139. The Vice-Chair of the Committee reiterated that the delay in the payment of pensions had caused a lot of hardship, particularly to staff in the field, and observed that there was a need for the Pension Fund secretariat to review its processes while at the same time noting that organizations had an important role to play in providing the required documentation.

140. **The High-level Committee on Management took note with appreciation of the update by the Under-Secretary-General for Management.**

Annex I

List of participants

Chair: **Irina Bokova**, Director General, United Nations Educational, Scientific and Cultural Organization

Vice-Chair: **Jan Beagle**, Deputy Executive Director, Joint United Nations Programme on HIV/AIDS

Secretary: **Remo Lalli**, secretariat of the United Nations System Chief Executives Board for Coordination

Simona Petrova, Director, secretariat of the United Nations System Chief Executives Board for Coordination, and Acting Secretary, United Nations System Chief Executives Board for Coordination

Organizations	*Name title and division*
United Nations	**Yukio Takasu** Under-Secretary-General, Department of Management
	Catherine Pollard Under-Secretary-General Department for General Assembly and Conference Management
	Jane Holl Lute Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse, by audio link
	Antigoni Axenidou Director, General Legal Division, Representative of the Legal Network
	Jillann Farmer Director, Medical Service Division, Chair, Medical Directors Working Group
	Cecilia Elizalde Director, Documentation Division, Department for General Assembly and Conference Management
	Menada Wind-Anderson Executive Officer, Department of Safety and Security, by videoteleconference
	Craig Harrison Chief-Policy, Compliance and Coordination Service, Department of Safety and Security, by videoteleconference

Organizations	*Name title and division*
International Labour Organization	**Greg Vines** Deputy Director-General
Food and Agriculture Organization of the United Nations	**Fernanda Guerrieri** Assistant Director-General, Corporate Services Department
	Getachew Engida Deputy Director-General
	Ruth De Miranda Director, Bureau of Human Resources Management
	Nutan Wozencroft Chief Financial Officer, Bureau of Financial Management
	Sachin Bhatt Senior Executive Officer, Office of the Director-General
World Health Organization	**Nick Jeffreys** Comptroller, Co-Chair of the Finance and Budget Network
	Roberto Balsamo Management Officer
International Monetary Fund	**Chris Hemus** Director, Corporate Services and Facilities Department
International Telecommunication Union	**Anders Norsker** Chief, Information Services and Representative of the Information and Communications Technology Network
World Meteorological Organization	**Angiolo Rolli** Director, Resource Management Department
World Intellectual Property Organization	**Magdi Bona** Assistant Controller
International Fund for Agricultural Development	**Lakshmi Menon** Associate Vice-President, Corporate Services Department
World Tourism Organization	**José G. Blanch** Director, Administration Division
	Sarbuland Khan Senior Counsellor

Organizations	*Name title and division*
International Atomic Energy Agency	**Janice Dunn Lee** Deputy Director-General and Head of Management
United Nations Conference on Trade and Development	**Adnan Issa** Chief of Resource Management Service
United Nations Development Programme	**Jens Wandel** Assistant Secretary-General, Assistant Administrator and Director, Bureau for Management Services
	Izumi Nakamitsu Assistant Secretary-General and Co-Chair, Programme Criticality Steering Committee, by videoteleconference
United Nations Environment Programme	**Theresa Panuccio** Director, Office for Operations and Corporate Services
Office of the United Nations High Commissioner for Refugees	**Karen Madeleine Farkas** Director, Division of Human Resources Management and Co-Chair, Human Resources Network
	Linda Ryan Controller
United Nations Children's Fund	**Fatoumata Ndiaye** Deputy Executive Director
	Lori Issa United Nations Partnership Specialist
United Nations Population Fund	**Laura Londén** Assistant Secretary-General and Deputy Executive Director (Management)
	Andrew Saberton Director, Division for Management Services
World Food Programme	**Robert Opp** Director, Innovation and Change Management
	Lidia Tutarinova Inter-agency Coordinator to the Assistant Executive Director
United Nations Office at Vienna/ United Nations Office on Drugs and Crime	**Dennis Thatchaichawalit** Director, Division of Management
United Nations Human Settlements Programme	**Andrew Cox** Director, Management and Operations Division

Organizations	*Name title and division*
United Nations Entity for Gender Equality and the Empowerment of Women	**Moez Doraid** Director, Management and Administration
United Nations System Staff College	**Claire Messina** Deputy Director, Programme Management and Business Development
Other representatives	
International Civil Service Commission	**Wolfgang Stoeckl** Vice-Chairman
	Regina Pawlik Executive Secretary
International Organization for Migration	**Laura Thompson** Deputy Director-General
	Carlos Oliver Cruz Special Assistant to the Deputy Director-General
Organizaton for the Prohibition of Chemical Weapons	**William Amoroso** Director, Administration Division
Representatives of Internal Audit Services of the United Nations Organizations (UN-RIAS)	**Susanne Freuh** Director, Internal Oversight Service, and Chair, UN-RIAS
United Nations Development Group	**John Hendra** Co-Chair, United Nations Development Group Working Group on Leadership, by videoteleconference
Federation of International Civil Servants' Associations	**Diab El-Tabari** President
Coordinating Committee for International Staff Unions and Associations of the United Nations System	**Ian Richards** President

Annex II

Checklist of documents

Item no.	*Title*	*Summary sheet*	*Document symbol*
	Provisional agenda	Not available	CEB/2016/HLCM/14
	Provisional programme of work		CEB/2016/HLCM/14/Add.1
A	Draft High-level Committee on Management strategic plan for 2017-2020	Yes	CEB/2016/HLCM/15
	Draft results framework — strategic plan for 2017-2020		CEB/2016/HLCM/15/Add.1
B	Chief Executives Board common principles to guide the United Nations system's support to the implementation of the 2030 Agenda (April 2016)	Not available	Not available
B.1	Draft High-level Committee on Management-High-level Committee on Programmes discussion paper on the United Nations system leadership model/framework	Yes	CEB/2016/HLCM/16
	United Nations Development Group Working Group on Leadership — draft United Nations leadership model		Not available
B.2	Briefing on the July 2016 session of the International Civil Service Commission	Yes	CEB/2016/HLCM/18
	Draft project proposal for the joint provision of common human resources functions (with comments by the Human Resources Network)	Yes	CEB/2016/HLCM/19 and Add.1
B.3	Outcome of the High-level Committee on Management task force on sexual exploitation and abuse	Yes	CEB/2016/HLCM/20
	Sexual exploitation and abuse		Not available
	Annexes:		
	6. A/69/779 — Report of the Secretary-General		
	7. A/70/135 — Amendments to the Staff Regulations and Rules		
	8. A/70/729 — Report of the Secretary-General		
	9. Annual compacts of Humanitarian Coordinators with the Emergency Relief Coordinator		
	10. Guidance package for the Trust Fund		
	11. Statement by the Inter-Agency Standing Committee on Protection from Sexual Exploitation and Abuse		

Item no.	*Title*	*Summary sheet*	*Document symbol*
B.4	Draft report on the costs of oversight and accountability structures in the United Nations system	Yes	CEB/2016/HLCM/21
B.5	Draft terms of reference of the High-level Committee on Management Task Force on Common Definitions Related to Fraud and Implementing Partners	Yes	CEB/2016/HLCM/22/Rev.1
B.6	Draft revised programme criticality framework	Yes	CEB/2016/HLCM/23
B.7	Briefing note by the United Nations Medical Directors Working Group — Health support plans for duty stations worldwide	Yes	CEB/2016/HLCM/26
B.8	Progress report — Introducing a common documentation XML standard for the United Nations system	Yes	CEB/2016/HLCM/24
	Progress report — Data Innovation Lab		CEB/2016/HLCM/25/Rev.1
C.1	Final report on the twenty-fourth session of the Inter-Agency Security Management Network (IASMN)	Yes	Not available
	IASMN — New policies of the United Nations Security Management System: (not for printing)		Not available
	– Guidelines on the management of HIV post-exposure prophylaxis (PEP) kits		
	– Guidelines on the security management of United Nations common premises		
	– Guidelines on the use of unarmed private security services		
	– Managing the procurement cycle for unarmed private security services manual		
C.2	Road map — International Year of Sustainable Tourism for Development	Not available	Not available